

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Explor. Attempts	Referrals	Referral Bonuses
Whitelisted IPs																			

INTERNAL ID	YEDZKNN
MANUAL RISK SCORE	35
TOTAL RISK SCORE	35
RISK LEVEL	Medium
CONTRACT ADVANTAGE	0
HITS	0
COMPLIANCE ADVANTAGE	0
LINK	Compliance-Link

APPLICATION STATUS	Approved
APPROVED BY	Compliance
NUMBER OF ATTEMPT TO	3
JUMBO	Reset

KYC Questionnaire

QUESTION	ANSWER	RISK RATING
10 Place of birth	Korea (South)	0
11 Citizenship on the document	Korea (South)	25
12 Please tell us about your current employment status.	Employed	0
13 Please tell us about your occupation or business activity.	Technology and communications-information technology	5
14 Please tell us about businesses you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
15 Is your individual activity or business registered or conducted in preferential tax zone for instance, free economic zone, offshore jurisdiction?	No	0
16 Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cash)	0
17 Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0
18 Please tell us about your source(s) of income funds. Select more than one box if necessary.	Salary / business income, Loan / Credit	0
19 Please tell us about your source(s) of wealth? Select more than one box if necessary.	Employment income, Business profits	0
20 Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment	5
21 How much do you plan to deposit per year, (USD and crypto combined)?	< 10 000	0
22 Please tell us which countries the funds will be received and/or transferred from.	Korea (South)	0
23 Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0
24 How many years of experience do you have in crypto trading?	< 1 Year	0
25 Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

Eligible on the KYC responses, the Customer's Medium Risk considering the following risk factors:

6-9-2021 12:51:05 PM

1. Citizenship on the document: a Korea (South) [25];
2. Occupation or business activity is Technology and communications-information technology [15];
3. Selected services include Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment [5];

Screening is performed against the Customer. The rule is hit against the searched name.

The Customer provided a valid ID document and passed Jumio but the ID document cannot be shown on the claim panel due to the technical issue. Overall, KYC Onboarding Analysis [REDACTED] is of the view that the initial AML CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk (Risk Score: 35).

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limit	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Explicit Attempts	Referrals	Referral Bonuses	Whitelisted IP	Risk Scoring	Transaction Monitoring	Security Questions
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INTERNAL ID	23ENDER
MANUARISSCORE	0
TOTAL RISK SCORE	51
RISK LEVEL	Medium
COMPANY ADVANTAGE	0
ADVISORS	
COMPLIANCE ADVANTAGE	

Risk Score Update History																																																																							
Date & Time	Risk Score	Risk Level																																																																					
12/5/2022 6:29:24 AM	5.0	Medium																																																																					
Comment	Document 208-14 KYC Questionnaire																																																																						
<table border="1"> <thead> <tr> <th>QUESTION SORT ORDER</th> <th>QUESTION</th> <th>ANSWER</th> <th>RISK RATING</th> </tr> </thead> <tbody> <tr> <td>10</td> <td>Place of Birth</td> <td>China</td> <td>0</td> </tr> <tr> <td>11</td> <td>Citizenship on the document</td> <td>China</td> <td>2.5</td> </tr> <tr> <td>12</td> <td>Please tell us about your current employment status.</td> <td>Self-employed</td> <td>5</td> </tr> <tr> <td>13</td> <td>Please tell us about your occupation or business activity.</td> <td>Technology and communications-Telcommunication</td> <td>5</td> </tr> <tr> <td>14</td> <td>Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?</td> <td>No</td> <td>0</td> </tr> <tr> <td>15</td> <td>Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?</td> <td>No</td> <td>0</td> </tr> <tr> <td>16</td> <td>Please tell us about your annual turnover, in individual or business activity, which is handled in cash.</td> <td>0-10% (none or little of my turnover is in cash)</td> <td>0</td> </tr> <tr> <td>17</td> <td>Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.</td> <td>0-10% (none or little of my turnover is in cryptocurrency)</td> <td>0</td> </tr> <tr> <td>18</td> <td>Please tell us about your source(s) of income/funds. Select more than one box if necessary.</td> <td>Salary / business income, Savings</td> <td>0</td> </tr> <tr> <td>19</td> <td>Please tell us the source(s) you plan to use. Select more than one box if necessary.</td> <td>Employment income</td> <td>0</td> </tr> <tr> <td>20</td> <td>How much do you plan to deposit per year (USD and crypto combined)?</td> <td>Participate in initial Exchange Offering</td> <td>0</td> </tr> <tr> <td>21</td> <td>Please tell us which countries the funds will be received and/or transferred from.</td> <td>10 000 000 000</td> <td>0</td> </tr> <tr> <td>22</td> <td>Let us know what your level of experience is with cryptocurrency trading? Please select one</td> <td>China</td> <td>15</td> </tr> <tr> <td>23</td> <td>How many years of experience do you have in crypto trading?</td> <td>Beginner</td> <td>0</td> </tr> <tr> <td>24</td> <td>Are you an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.</td> <td>< Year</td> <td>0</td> </tr> <tr> <td>25</td> <td></td> <td>No</td> <td>0</td> </tr> </tbody> </table>				QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING	10	Place of Birth	China	0	11	Citizenship on the document	China	2.5	12	Please tell us about your current employment status.	Self-employed	5	13	Please tell us about your occupation or business activity.	Technology and communications-Telcommunication	5	14	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0	15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0	16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cash)	0	17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0	18	Please tell us about your source(s) of income/funds. Select more than one box if necessary.	Salary / business income, Savings	0	19	Please tell us the source(s) you plan to use. Select more than one box if necessary.	Employment income	0	20	How much do you plan to deposit per year (USD and crypto combined)?	Participate in initial Exchange Offering	0	21	Please tell us which countries the funds will be received and/or transferred from.	10 000 000 000	0	22	Let us know what your level of experience is with cryptocurrency trading? Please select one	China	15	23	How many years of experience do you have in crypto trading?	Beginner	0	24	Are you an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	< Year	0	25		No	0
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25		No	0																																																																				
<p>Comment</p> <p>28/2/2022 9:39:57 AM</p> <p>Add Comment</p>																																																																							
<table border="1"> <thead> <tr> <th>DATE & TIME</th> <th>FULL NAME</th> <th>ROLE</th> <th>COMMENT</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td>Manual checking required.</td> </tr> <tr> <td></td> <td></td> <td></td> <td>a. Full Name match with Jumio record</td> </tr> <tr> <td></td> <td></td> <td></td> <td>b. DOB matches with Jumio record</td> </tr> <tr> <td></td> <td></td> <td></td> <td>c. Full address provided</td> </tr> <tr> <td></td> <td></td> <td></td> <td>d. Origin of funds from US, Canada, Japan - Nil</td> </tr> <tr> <td></td> <td></td> <td></td> <td>e. No connection to any Unsupported Country</td> </tr> <tr> <td></td> <td></td> <td></td> <td>f. Disconnection of Screening Hits - zero English and Chinese name search hit.</td> </tr> <tr> <td></td> <td></td> <td></td> <td>Based on New Business Committee's guidance on Oct 1 2021, it is agreed to onboard the Customer with China residency with Medium risk (5.0).</td> </tr> <tr> <td></td> <td></td> <td></td> <td>full address requested = 208642</td> </tr> </tbody> </table>				DATE & TIME	FULL NAME	ROLE	COMMENT				Manual checking required.				a. Full Name match with Jumio record				b. DOB matches with Jumio record				c. Full address provided				d. Origin of funds from US, Canada, Japan - Nil				e. No connection to any Unsupported Country				f. Disconnection of Screening Hits - zero English and Chinese name search hit.				Based on New Business Committee's guidance on Oct 1 2021, it is agreed to onboard the Customer with China residency with Medium risk (5.0).				full address requested = 208642																												
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			full address requested = 208642																																																																				
<p>2/25/2022 12:28:45 PM</p>																																																																							

Page 4	
Current Application Record	
HITS	0
COMPILED ADVANTAGE	
C:\temp\Advantage\Links	
LINK	
VERIFICATION	
APPLICATION STATUS	
Auto-Approved	
CATEGORY	
JUMBO	
NUMBER OF ATTEMPT TO	
4	
Reset	

Risk Score Update History					
Date & Time	Full Name	Role	Risk Score	Risk Level	Comments
10-2023 6:20:42 PM	Auto (System)	Auto (System)	3.5	Medium	

MC Questionnaire		ANSWER	USER RATING
QUESTION	ANSWER	QUESTION	ANSWER
QUESTION SORT ORDER:	1234567890	QUESTION	ANSWER
QUESTION 1	ANSWER 1	QUESTION 2	ANSWER 2
QUESTION 3	ANSWER 3	QUESTION 4	ANSWER 4
QUESTION 5	ANSWER 5	QUESTION 6	ANSWER 6
QUESTION 7	ANSWER 7	QUESTION 8	ANSWER 8
QUESTION 9	ANSWER 9	QUESTION 10	ANSWER 10
QUESTION 11	ANSWER 11	QUESTION 12	ANSWER 12
QUESTION 13	ANSWER 13	QUESTION 14	ANSWER 14
QUESTION 15	ANSWER 15	QUESTION 16	ANSWER 16
QUESTION 17	ANSWER 17	QUESTION 18	ANSWER 18
QUESTION 19	ANSWER 19	QUESTION 20	ANSWER 20
QUESTION 21	ANSWER 21	QUESTION 22	ANSWER 22
QUESTION 23	ANSWER 23	QUESTION 24	ANSWER 24
QUESTION 25	ANSWER 25	QUESTION 26	ANSWER 26
QUESTION 27	ANSWER 27	QUESTION 28	ANSWER 28
QUESTION 29	ANSWER 29	QUESTION 30	ANSWER 30
QUESTION 31	ANSWER 31	QUESTION 32	ANSWER 32
QUESTION 33	ANSWER 33	QUESTION 34	ANSWER 34
QUESTION 35	ANSWER 35	QUESTION 36	ANSWER 36
QUESTION 37	ANSWER 37	QUESTION 38	ANSWER 38
QUESTION 39	ANSWER 39	QUESTION 40	ANSWER 40
QUESTION 41	ANSWER 41	QUESTION 42	ANSWER 42
QUESTION 43	ANSWER 43	QUESTION 44	ANSWER 44
QUESTION 45	ANSWER 45	QUESTION 46	ANSWER 46
QUESTION 47	ANSWER 47	QUESTION 48	ANSWER 48
QUESTION 49	ANSWER 49	QUESTION 50	ANSWER 50
QUESTION 51	ANSWER 51	QUESTION 52	ANSWER 52
QUESTION 53	ANSWER 53	QUESTION 54	ANSWER 54
QUESTION 55	ANSWER 55	QUESTION 56	ANSWER 56
QUESTION 57	ANSWER 57	QUESTION 58	ANSWER 58
QUESTION 59	ANSWER 59	QUESTION 60	ANSWER 60
QUESTION 61	ANSWER 61	QUESTION 62	ANSWER 62
QUESTION 63	ANSWER 63	QUESTION 64	ANSWER 64
QUESTION 65	ANSWER 65	QUESTION 66	ANSWER 66
QUESTION 67	ANSWER 67	QUESTION 68	ANSWER 68
QUESTION 69	ANSWER 69	QUESTION 70	ANSWER 70
QUESTION 71	ANSWER 71	QUESTION 72	ANSWER 72
QUESTION 73	ANSWER 73	QUESTION 74	ANSWER 74
QUESTION 75	ANSWER 75	QUESTION 76	ANSWER 76
QUESTION 77	ANSWER 77	QUESTION 78	ANSWER 78
QUESTION 79	ANSWER 79	QUESTION 80	ANSWER 80
QUESTION 81	ANSWER 81	QUESTION 82	ANSWER 82
QUESTION 83	ANSWER 83	QUESTION 84	ANSWER 84
QUESTION 85	ANSWER 85	QUESTION 86	ANSWER 86
QUESTION 87	ANSWER 87	QUESTION 88	ANSWER 88
QUESTION 89	ANSWER 89	QUESTION 90	ANSWER 90
QUESTION 91	ANSWER 91	QUESTION 92	ANSWER 92
QUESTION 93	ANSWER 93	QUESTION 94	ANSWER 94
QUESTION 95	ANSWER 95	QUESTION 96	ANSWER 96
QUESTION 97	ANSWER 97	QUESTION 98	ANSWER 98
QUESTION 99	ANSWER 99	QUESTION 100	ANSWER 100

12 Citizenship on the document
13 Please tell us about your current employment status.
Please tell us about your occupation or business activity.

08-3	Private term sheet summary - You can communicate with us via email or telephone.
	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?
	Please tell us about turnover, in individual or business activity, which is handled in cash.
	Please tell us about your annual turnover, in individual or business activity, which is handled in cash/currency.
No	0-10% more or little of my turnover is in cash
0	0-10% more or little of my turnover is in cryptocurrency
0	10%-none or little of my turnover is in cash
0	10%-none or little of my turnover is in cryptocurrency

Please tell us which countries the funds will be received and/or transferred from.
Let us know what your level of experience is with cryptocurrency trading? Please select one

25
Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.

Comment	
Date & Time	Full Name
1/17/2023 9:58:23 AM	Chinese Input of Q13 is Media, Art Design - Freelance 3D Animator, China ID provided can be used as POA.

Chinese input of Q1 3D Media, Art Design - Freelance 3D Animator, China ID provided can be used as MOAB

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals	Referral Bonuses	Whitelisted IPs	Risk Scoring
Transaction Monitoring	Security Question	Supporting Documents																			

INTERNAL ID	PR25628
MANUAL RISK SCORE	0
TOTAL RISK SCORE	4.5
RISK LEVEL	Medium
COMPLIANCE ADVANTAGE	0
HITS	0
LINK	Compliance Advantage Link
VERIFICATION	
APPLICATION STATUS	Auto-Approved
CATEGORY	
NUMBER OF ATTEMPT TO	1
JUMBO	Reset

▼ [Save & Return Later](#)

KYC Questionnaire

QUESTION	ANSWER	RISK RATING
Place of birth	China	0
Citizenship on the document	China	2.5
Please tell us about your current employment status.	Employed	0
Please tell us about your occupation or business activity.	Health and wellness-Health care	5
Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10K (none or little of my turnover is in cash)	0
Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10K (none or little of my turnover is in cryptocurrency)	0
Please tell us about your source(s) of income funds. Select more than one box if necessary.	Salary / business income, Savings	0
Please tell us about your source(s) of wealth. Select more than one box if necessary.	Inheritance, Employment income	0
Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term Investment, Participate in Initial Exchange Offering	0
How much do you plan to deposit per year (USD and crypto combined)?	10 000-100 000	15
Please tell us which countries the funds will be received and/or transferred from.	China	0
Let us know what your level of experience is with cryptocurrency trading? Please select one.	Beginner	0
How many years of experience do you have in crypto trading?	< 1 Year	0
Are you an immediate family member or a close associate entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add Comment

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals	Referral Bonuses	Whitelisted IPs	Risk Scoring
Transaction Monitoring																					

INTERNAL ID	CR0446C	MANUAL RISK SCORE	41
TOTAL RISK SCORE	0	RISK LEVEL	Medium
COMPANY ADVANTAGE	0	HITS	
COMPANY ADVANTAGE	0	LINK	Company Advantage Link
VERIFICATION	Approved	CATEGORY	Approved By Compliance
APPLICATION STATUS	Approved	NUMBER OF ATTEMPT TO	1
JUMBO		RESET	

NYC Questionnaire

QUESTION SORT ORDER

QUESTION

ANSWER

RISK RATING

Place of birth

Citizenship on this document

Please tell us about your current employment status.

Please tell us about your occupation or business activity.

Please tell us about your business or registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?

Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?

Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.

Please tell us about your source(s) of income funds. Select more than one box if necessary.

Please tell us about your source(s) of wealth? Select more than one box if necessary.

Please select the service(s) you plan to use. Select more than one box if necessary.

How much do you plan to deposit per year (USD and crypto combined)?

Please tell us which countries the funds will be received and/or transferred from.

Let us know what your level of experience is with cryptocurrency trading? Please select one.

How many years of experience do you have in crypto trading?

Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.

Comment

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

Based on the KYC responses, the customer is Medium Risk, considering the following risk factors:

The citizenship of customer is China, claimed as employed and engaged in Technology and communications - information technology, and the purposes of opening account were Crypto Trading, Long term investment and Crypto payment.

Screening is performed against the customer. There are 7 hits against the searched names. The hits are identified as false hit since either the name or age of persons mentioned in the hits are not matched with the customer's profile and no evidence shows that customer has direct linkage with the company mentioned in the hit.

Email has been sent to the customer due to his country of residency.

Overall KYC Onboarding Analyst, [REDACTED] is of the view that the initial AML CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk (41).

INTERNAL ID	NKU75NM
MANUAL RISK SCORE	<input type="text" value="6"/>
TOTAL RISK SCORE	50
RISK LEVEL	Medium
COMPY ADVANTAGE	0
HITS	
COMPY ADVANTAGE LINK	Compy Advantage Link
LINK	
APPLICATION STATUS	Approved
CATEGORY	Approved By Comptroller
NUMBER OF ATTEMPT TO	3
JUMBO	Reset

Document 208-3		Filed 12/21/2023		Risk Score Update History	
Date & Time	Full Name	Role	Risk Score	Risk Level	Risk Rating
12/21/2023 1:19:28 PM	Auto (System)	Auto (System)	30	Medium	0
12/21/2023 1:19:15 PM	Auto (System)	Auto (System)	30	Low	25
12/21/2023 1:19:15 PM	Auto (System)	Auto (System)	30	Low	0
CYC Questionnaire		QUESTION	ANSWER		
Question Sort Order:					
10	Place of birth				
11	Citizenship on the document				
12	Please tell us about your current employment status.				
13	Please tell us about your occupation or business activity.				
14	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?				
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24	How many years of experience do you have in crypto trading?				
25	Are you an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.				

Comment

2/2/2023 3:39:17 PM

- d. Full address provided and matched with ID which we accepted as valid POA.
- d. Origin of Funds from US, Canada, Japan - Nil
- e. No connection to any UnSupported Country
- f. Disconnection of Screening Hits - 2x10 English and Chinese name search hit.

10 24112 36 05 PM

All three are discussed in Table 1 below. According to the *ABC* Quantile test, the *Colombian* model is significantly different from the *Swiss* model at 1% significance level. According to the *ABC* Quantile test, the *Colombian* model is significantly different from the *Swiss* model at 1% significance level. According to the *ABC* Quantile test, the *Colombian* model is significantly different from the *Swiss* model at 1% significance level. According to the *ABC* Quantile test, the *Colombian* model is significantly different from the *Swiss* model at 1% significance level.

All three are discussed in Table 1 below. According to the *ABC* Quantile test, the *Colombian* model is significantly different from the *Swiss* model at 1% significance level. According to the *ABC* Quantile test, the *Colombian* model is significantly different from the *Swiss* model at 1% significance level. According to the *ABC* Quantile test, the *Colombian* model is significantly different from the *Swiss* model at 1% significance level. According to the *ABC* Quantile test, the *Colombian* model is significantly different from the *Swiss* model at 1% significance level.

Print	Balance	ledger	Deposits	Deposit Address	Withdrawals	Redemption Units	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Term	Mail Queue	Notification	Activity	Error Log	Forgot Attempts	Referrals	Referral Bonuses	Whitelisted IPs	Risk Scoring	Transaction Monitoring	Security Question	Submitting Documents
-------	---------	--------	----------	-----------------	-------------	------------------	----------------------	---------------	---------------	------------------	--------	------	------------	--------------	----------	-----------	-----------------	-----------	------------------	-----------------	--------------	------------------------	-------------------	----------------------

Risk Score Update History

DATE & TIME	NUMBER OF ATTEMPT TO	CATEGORY	APPROVAL STATUS	REFERRAL
1 30 2023 7:27:24 AM	2	Referrals	Auto-Approved	
1 30 2023 7:28:12 AM				
1 30 2023 7:28:40 AM				
1 30 2023 7:28:58 AM				
1 30 2023 7:21:56 AM				
1 30 2023 7:20:53 AM				
1 30 2023 7:19:06 AM				
1 30 2023 7:18:23 AM				
1 30 2023 7:17:24 AM				
1 30 2023 7:16:36 AM				
1 30 2023 7:15:12 AM				
1 30 2023 7:14:02 AM				
1 30 2023 7:13:20 AM				
1 30 2023 7:12:42 AM				
1 30 2023 7:11:42 AM				
1 30 2023 7:10:52 AM				

KYC Questionnaire

QUESTION	ANSWER	RISK SCORE	RISK LEVEL
QUESTION SORT ORDER		0	Low
Place of birth	China	50	Medium
Other names on the document	China	50	Medium
Please tell us about your current employment status.	None	50	Medium
Please tell us about your current place of residence, or where you are registered for tax purposes?	China	15	Medium
Please tell us about your current or previous tax status, for instance, free economic zone, offshore jurisdiction?	None	15	Medium
Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	None	10	Low
Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	None	10	Low
Please tell us about your sources of income funds. Select more than one box if necessary.	None	10	Low
Please tell us about your sources of wealth. Select more than one box if necessary.	None	10	Low
Please tell us which countries the funds will be received and transferred from.	None	10	Low
Please tell us which countries the funds will be received and transferred from.	None	10	Low
Let us know what your level of experience is with cryptocurrencies trading? Please select one:	None	0	Low
How many years of experience do you have in crypto trading?	None	0	Low
Are you an immediate family member or a close associate, estranged, or have been estranged, with prominent public functions in any country or international organization? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	None	0	Low
How much do you plan to deposit per year USD and crypto combined?	< 10,000	15	Medium
Please tell us which countries the funds will be received and transferred from.	Korea (South)	0	Low
Please tell us which countries the funds will be received and transferred from.	China	0	Low
Regulator	None	0	Low
How many years of experience do you have in crypto trading?	< 1 Year	0	Low
Are you an immediate family member or a close associate, estranged, or have been estranged, with prominent public functions in any country or international organization? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	None	0	Low

Comment

Add Comment

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tries	Mail Queue	Notifications	Activity	Error Log	Export Attempts	Referrals	Referral Bonuses
Whitelisted IPs		Risk Scoring																	
INTERNAL ID	LME-SYB																		
MANUALRISKSCORE	0																		
TOTAL RISK SCORE	30																		
RISK LEVEL	Low																		
COMPLADVANTAGE	10																		
HITS	0																		
COMPLYADVANTAGE	ComplyAdvantage Link																		
LINK	ComplyAdvantage Link																		
APPLICATION STATUS	Approved																		
CATEGORY	Approved By: Compliance																		
NUMBER OF ATTEMPT TO	3																		
JUMBO	Reset																		
Save & return user																			
Risk Score Update History																			
DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL															
10-3-2021 8:29:39 AM	Auto (System)	Auto (System)	30	Low															
QUESTION	ANSWER	RISK RATING																	
10	Taiwan	0																	
11	Employed	25																	
12	台湾	0																	
13	已婚	0																	
14	Yes	0																	
15	Is your individual activity or business registered or conducted in a preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	0																	
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0																	
17	Please tell us about your current employment status.	0																	
18	Please tell us about your occupation or business activity.	0																	
19	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	0																	
20	Please tell us about your sources of wealth? Select more than one box if necessary.	0																	
21	Please select the service(s) you plan to use. Select more than one box if necessary.	0																	
22	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0																	
23	Please tell us about your current employment status.	0																	
24	Please tell us about your occupation or business activity.	0																	
25	How many years of experience do you have in crypto trading?	0																	
Comment		COMMENT																	
Add Comment Edit & comment...		<p>Based on the KYC responses, the Customer is considered Low Risk. Screening is performed against the Customer. There are 13 hits against the searched English name. There are 10 hits against the searched Chinese name. All hits can be discounted due to name mismatch.</p> <p>The Customer's occupation is composite materials engineer.</p> <p>Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Low Risk (RISK SCORE 30).</p>																	

Profile	Balances	Ledger	Deposits	Addressees	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Explor Attempts	Referrals	Referral Bonuses
Whitelisted IPs																			

INTERNAL ID	Risk Scoring
0027815	Score
MANUAL RISK SCORE	60
TOTAL RISK SCORE	60
RISK LEVEL	Medium
COMPLIANT ADVANTAGE HITS	0
COMPLIANT ADVANTAGE	Compliant Advantage (n/a)
LINK	

VERIFICATION	Approved
APPLICATION STATUS	Approved By: Compliance
CATEGORY	
NUMBER OF ATTEMPT TO	3
JUMBO	
RESET	

Save & Inform User

KYC Questionnaire

QUESTION	ANSWER	RISK RATING
10 Place of birth	China	0
11 Citizenship on the document	United Kingdom	0
12 Please tell us about your current employment status.	Retired	0
13 Please tell us about your occupation or business activity.	Importer and wholesale	0
14 Is your individual, activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	Yes	0
15 Please tell us about your annual turnover, in individual or business activity, which is handled in cash	Hong Kong	0
16 Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	60-50% (most of my turnover is in cash)	0
17 Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (from or little of my turnover is in cryptocurrency)	0
18 Please tell us about your sources of income or funds. Select more than one box if necessary.	Pension, social benefits, Investments, Savings	0
19 Please tell us about your sources of wealth? Select more than one box if necessary.	Property sale, Employment income, Business profits	0
20 Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Crypto payment	5
21 How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
22 Please tell us which countries the funds will be received and/or transferred from.	Hong Kong	15
23 Let us know what your level of experience is with cryptocurrency trading. Please select one:	New Zealand	0
24 How many years of experience do you have in crypto trading?	United States	0
	Beginner	0
	< 1 Year	0
	No	0

Comment

Add Comment

DATE & TIME	FULL NAME	ROLE	COMMENT
Based on the KYC responses, the Customer is Medium Risk. Considering the following risk factors according Customer Risk Model for Retail Customer:			
4-29-2021 1:19:19 PM			Per Customer's reply in Zendesk, he was a green card holder until he went through official procedures with US embassy in Hong Kong and gave up his green card permanently since 2010. The reason for him to own a Bank of America account (joint account with son) is because he could support his son for college education (i.e. daily expenses), and he may remit some funds to his son for further investment since he does not trust the Hong Kong government.
			Based on KYC questionnaire, customer's score is 30 points. In addition, client is retired and planning to deposit USD10K - 100K annually which accounts for additional 40 points. In total, client's risk score is 60 points which is not shown in KYC questionnaire.
			Screening is performed against the Customer and there is 0 hit. Overall, Senior KYC Onboarding analyst [REDACTED] is of the view that the initial AML/CFT assessment result is consistent with Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk - Risk Score 60.

INTERNAL ID	VK-ANP/U
MANUAL RISKS/SCORE	0
TOTAL RISK SCORE	30
RISK LEVEL	Low

COMPLIANT/HITS	3
COMPLIANT/ADVANTAGE LINK	Compliant/advantage Link

VERIFICATION	Approved
APPLICATION STATUS	Approved By Compliance

Approved By Compliance

Approved By Compliance

NUMBER OF ATTEMPT TO	1
JUMBO	Reset

Approved By Compliance

QUESTION	ANSWER	RISK SCORE	RISK LEVEL
Place of birth	China	30	Low
Citizenship on the document	China	30	Low
Please tell us about your current employment status.	Unemployed	0	Low
Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0	Low
Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0	Low
Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cash)	0	Low
Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0	Low
Please tell us about your sources(s) of income (funds). Select more than one box if necessary.	Savings	0	Low
Please tell us about your sources(s) of wealth? Select more than one box if necessary.	Employment income	0	Low
Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Crypto payment	5	Medium
How much do you plan to deposit per year (USD and crypto combined)?	< 10,000	0	Low
Please tell us which countries the funds will be received and/or transferred from.	Korea (South)	0	Low
Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0	Low
How many years of experience do you have in crypto trading?	< 1 Year	0	Low
Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0	Low

Approved By Compliance

Profile		Balances		Deposits		Deposit Addresses		Withdrawals		Redemption Limits		Withdrawal Addresses		Bank Accounts		Active Orders		Completed Orders		Trades		Tiers		Mail Queue		Notifications		Activity		Error Log		Exploit Attempts		Referrals		Referral Bonuses			

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Trips	Mail Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals	Referral Bonuses
Whitelisted IPs																			

INTERNAL ID	SSBK:SQ
MANUAL RISK SCORE	0
TOTAL RISK SCORE	50
RISK LEVEL	Medium
COMPY ADVANTAGE	2
HITS	2
COMPI ADVANTAGE LINK	View

SSBK:SQ

Score

50

Medium

2

2

[View](#)

SSBK:SQ

Score

50

Medium

2

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdraw Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals	Referral Bonuses
Whitelisted IPs																			

INTERNAL ID	3-IDUN6K	RISK SCORING	0
MANUAL RISK SCORE	0	TOTAL RISK SCORE	35
RISK LEVEL	Medium	COMPLIADVANTAGE HITS	0
COMPLIADVANTAGE LINK	ComplyAdvantage Link	VERIFICATION	Approved

Set

KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	31
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	金融IT行业	0
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in a preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	90-100% (all or almost all of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income/ funds. Select more than one box if necessary.	Salary / business income, Savings	0
19	Please tell us about your source(s) of wealth/ Select more than one box if necessary.	Employment income	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment	5
21	How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	Singapore	0
23	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, employed, or have been entrusted with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add a comment...

DATE & TIME	FULL NAME	ROLE	COMMENT
5/12/2021 1:02:45 PM			<p>Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:</p> <ul style="list-style-type: none"> -Chinese citizenship on pet China Passport (31) -Customer chose Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment as the services he plan to use (5) <p>So, the total risk rating score is $31+5=36$.</p> <p>Screening is performed against the Customer. There are 4 hits against the searched Chinese name and 0 hit against the English name. All the potential hits can be discounted due to name, full name mismatch.</p> <p>Overall, KYC Onboarding Analyst: [REDACTED] is of the view that the initial AML/CFT assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk [Risk score 36].</p>

Profile Balances, Ledger, Deposits, Withdrawals, Redemption Requests, Withdraw Address, Bank Accounts, Active Orders, Completed Orders, Trades, Ticks, Mail Queue, Notifications, Activity, Error Log, Failed Attempts, Referrals, Referral Bonuses, Whitelisted IPs, Risk Scoring, Transaction Monitoring, Security Question, Supporting Documents

INTERNAL ID

67

Save

MANUALSCORE

67

Save

TOTAL RISK SCORE

5.1

Save

RISK LEVEL

Medium

Save

COMPANYADVANTAGE

1.2

Save

HITS

12

Save

LINK

https://www.google.com

Save

VERIFICATION

Approved

Save

APPLICATION STATUS

Approved

Save

CATEGORY

Approved/Candidate

Save

NUMBER OF ATTTEMPT TO

5

Save

JUMBO

Reset

Save

Save & Open URL

KYC Questionnaire

Comment

Question Sort Order

place of birth

Citizen of the document

Please tell us about your current employment status.

Please tell us about your occupation or business activity.

Please tell us about business you may conduct in other countries besides where you are registered for tax purposes?

Is your individual activity or business registered or considered a preferential tax zone (for instance, free economic zone, offshore jurisdiction)?

Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.

Please tell us about your sources of income funds. Select more than one box if necessary.

Please select the services you plan to use. Select more than one box if necessary.

How much do you plan to deposit per week (USD and crypto combined)?

Please tell us which countries the funds will be received and or transferred from.

Let us know what your level of experience is with cryptocurrency trading. Please select one.

How many years of experience do you have in crypto trading?

Are you an immediate family member or a close associate, untrustful, or have been untrustful, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.

QUESTION

ANSWER

RISK RATING

China

31

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Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals
Referral Bonuses	Whitelisted IPs	Risk Scoring																

INTERNAL ID	V9W73H5
MANUAL HITS SCORE	0
TOTAL RISK SCORE	40
RISK LEVEL	Medium
COMPLY/ADVANTAGE	0
HITS	
COMPLY/ADVANTAGE	comply/advantage link
LINK	<input type="button" value="Save"/>
VERIFICATION	
APPLICATION STATUS	Approved
CATEGORY	
NUMBER OF ATTEMPT TO	1
JUMIO	Approved By: Compliance
QUESTION	Save & Inform User

KYC Questionnaire

QUESTION	ANSWER	RISK RATING
Place of birth	China	0
Citizenship on the document	China	25
Please tell us about your current employment status.	Retired	0
Please tell us about your occupation or business activity.	Housewife	0
Please tell us about other country(ies) besides where you are registered for tax purposes?	No	0
Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zones, offshore jurisdiction)?	No	0
Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cash)	0
Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0
Please tell us about your source(s) of income funds. Select more than one box if necessary.	Savings	0
Please tell us about your source(s) of wealth? Select more than one box if necessary.	Employment income	0
Please select the service(s) you plan to use. Select more than one box if necessary.	Long term investment	0
How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	0
Please tell us which countries the funds will be received and/or transferred from.	China	15
Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0
How many years of experience do you have in crypto trading?	< 1 Year	0
Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

6/10/2021 3:14:28 PM

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors: Citizenship of China (25), and fund being transferred from China (15)

Screening is performed against the Customer. There are 0 hits against the searched names. In detail, they are false possible hits discounted by Full Name Not Match.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML/CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboarding the Customer with Medium Risk - 40 points.

INTERNAL ID	MANUAL RISK SCORE	0	4.0
TOTAL RISK SCORE	RISK LEVEL	30	Low
COMPLYADVANTAGE HITS	COMPLYADVANTAGE LINK	0	
NUMBER OF ATTEMPT TO JUMBO	VERIFICATION STATUS	Approved	
APPLICATION STATUS	CATEGORY	Approved By Compliance	
ComplyAdvantage Link			
Save & Submit Later		Save & Return Later	

KYC Questionnaire

QUESTION	ANSWER	RISK RATING
10 Place of birth	China	0
11 Citizenship on the document	China	25
12 Please tell us about your current employment status.	Employed	0
13 Please tell us about your occupation or business activity.	Technology and communications-information technology	5
14 Please tell us about business(es) you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
15 Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	0	0
16 Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in crypto)	0
17 Please tell us about your sources of income flows. Select more than one box if necessary.	0	0
18 Please tell us about your source(s) of wealth? Select more than one box if necessary.	Salary / business income	0
19 Please select the service(s) you plan to use. Select more than one box if necessary.	Employment income	0
20 How much do you plan to deposit per year (USG and crypto combined)?	Long term investment	0
21 Please tell us which countries the funds will be received and/or transferred from.	10 000 100 000	0
22 Let us know what your level of experience is with cryptocurrency trading? Please select one.	Switzerland	0
23 How many years of experience do you have in crypto trading?	Intermediate	0
24 Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	< 1 Year	0
25	No	0

Comment

Add Comment

COMMENT	DATE & TIME	FULL NAME	ROLE
Based on the KYC responses, the Customer is considered Low Risk. Screening is performed against the Customer's English and Chinese [REDACTED] names with 0 hits.	4-27-2021 11:13:54 AM	[REDACTED]	[REDACTED]
Email notification has also been sent to the Customer due to his country of residency in China.			
Overall, Senior KYC Onboarding Analyst [REDACTED] is of the view that the initial AML/CFT assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Low Risk (30).			

INTERNAL ID	K1LBKNW	KILLBKNW
MANUAL RISK SCORE	6	Save
TOTAL RISK SCORE	55	
RISK LEVEL	Medium	
COMPYADVANTAGE	0	
HITS		
COMPYADVANTAGE	CompyAdvantage Link	
LINK		
APPLICATION STATUS	Approved	
CATEGORY	Approved/Confidence	
NUMBER OF ATTEMPT TO	3	Save & Return User
JUMBO	Reset	

KYC Questionnaire

QUESTION	ANSWER	RISK RATING
10 Place of birth	China	0
11 Citizenship on the document	China	31
12 Please tell us about your current employment status.	Retired	0
13 Please tell us about your occupation or business activity.	Other services-Farming activity	5
14 Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
15 Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16 Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in crypto)	0
17 Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in crypto)	0
18 Please tell us about your source(s) of income funds. Select more than one box if necessary.	Pension, Social benefits, Savings	0
19 Please tell us about your source(s) of wealth? Select more than one box if necessary.	Inheritance, Property sale	0
20 Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Participate in initial Exchange Offering, Crypto payment	5
21 How much do you plan to deposit per year USD and crypto combined?	< 10 000	0
22 Please tell us which countries the funds will be received and/or transferred from.	China	15
23 Let us know what your level of experience is with cryptocurrency trading? Please select one.	Beginner	0
24 How many years of experience do you have in crypto trading?	< 1 Year	0
25 Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Document 208-3

Comment

[Add Comment](#)
[Edit a comment](#)
[Add Comment](#)
[Edit a comment](#)
[Full Name](#)
[Role](#)
[Comment](#)

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

- Chinese Citizenship per China ID (31)
- The occupation is Other services-Farming activity (5)
- Customer chose Crypto Trading, Long term investment, Participate in initial Exchange Offering, Crypto payment as the services she plan to use (5)
- Customer told us the funds will be received and/or transferred from China (15)
- So, the total risk rating score is $31+5+5+15=56$.

Screening is performed against the Customer. There is 1 hit against the searched Chinese name and 0 against the English name. The potential hit are false hit as full name mismatch.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML/CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk [Risk score 5].

Notification email has been sent to the Customer due to her country of residency in China.

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals	Referral Bonuses
Whitelisted IPs																			

INTERNAL ID	MANUAL RISK SCORE	TOTAL RISK SCORE	RISK LEVEL	COMPANY ADVANTAGE	HITS	COMPLIANCE ADVANTAGE	LINK	VERIFICATION	APPLICATION STATUS	CATEGORY	NUMBER OF ATTEMPT TO	RESET	JUMBO	Save & inform user	
636029Q	0	46	Medium	CompanyAdvantage	100	ComplianceAdvantage	link	Approved	Approved By Compliance		7				
NYC Questionnaire															
QUESTION	ANSWER	RISK RATING													
Place of birth		0													
Citizenship on the document		0													
Please tell us about your current employment status.		0													
Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?		0													
Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?		0													
Please tell us about your annual turnover in individual or business activity, which is handled in cash.		0													
Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.		0													
Please tell us about your source(s) of income/funds. Select more than one box if necessary.		0													
Please tell us about your source(s) of wealth. Select more than one box if necessary.		0													
Please tell us about your source(s) you plan to use. Select more than one box if necessary.		0													
How much do you plan to deposit per year (USD and crypto combined)?		0													
Please tell us which countries the funds will be received and/or transferred from.		0													
Let us know what your level of experience is with cryptocurrency trading? Please select one.		0													
How many years of experience do you have in crypto trading?		0													
Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.		0													
Comment															
Add Comment															
DATE & TIME	FULL NAME	ROLE													
5/20/2021 2:13:21 PM															
COMMENT															
Updated by KYC Onboarding Analyst, [REDACTED] She is a China national residing in UAE.(31) No e-mail notification will be sent to the Customer due to her country of residency after approval.															
Based on the KYC response, the Customer is medium risk considering the following risk factors. She is a China national residing in China.(31)															
Her origin of funds include UAE and China.(15)															
Screening is performed against the Customer's Chinese and English names. There are 200 hits against the searched names and the potential hits are discounted as a name mismatch, no AML/CFT related and customer declared that she is not a member of the local Council of Standing Committee of Datong Municipal People's Congress of China.(31) Other hits are discounted due to name mismatch.															
Email notification will be sent to the Customer due to her country of residency after approval.															
Overall KYC Onboarding Analysis: 3 of the view that the initial AML/CFT assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk(46).															

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Thirs	Mail Queue	Notifications	Activity	Error Log	Logout
Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Thirs	Mail Queue	Notifications	Activity	Error Log	Logout

INTERNAL ID	C5505D
MANNAR RISKSORE	0
TOTAL RISK SCORE	36
RISK LEVEL	Medium

COMPLIANT HITS: 2

COMPLIANT ADVANTAGE: [Copy/Advantage Link](#)

VERIFICATION: Approved

APPLICATION STATUS: [Approved By Compliance](#)

NUMBER OF ATTEMPT TO: 1

JUMBO: [Reset](#)
[▼ Save & Inform User](#)
[▼ Save & Inform User](#)

KYC Questionnaire

QUESTION

ANSWER

RISK RATING

Place of birth
Citizenship on the document

Please tell us about your current employment status.

Please tell us about your occupation or business activity.

Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?

Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?

Please tell us about your annual turnover, in individual or business activity, which is handled in cash.

Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.

Please tell us about your source(s) of income funds. Select more than one box if necessary.

Please select the service(s) you plan to use. Select more than one box if necessary.

How much do you plan to deposit per year (USD and crypto combined)?

Please tell us which currency the funds will be received and/or transferred from.

Let us know what your level of experience is with cryptocurrency trading? Please select one:

How many years of experience do you have in crypto trading?

Are you an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.

Comment

Add Comment

4549 comments...

DATE & TIME

FULL NAME

ROLE

COMMENT

Based on the KYC responses, the Customer is Medium Risk, considering the following risk factors:

1. Chinese citizenship per PRC Passport

2. Selected services include Crypto Trading & Crypto Payment

Screening is performed against the customer. There are 2 hits against the searched English name. There are 4 hits against the searched Chinese name.

All hits are discounted as NAME MISMATCH, DOB MISMATCH, ADVISE MEDIA UNRELATED TO AML/CTF. Overall Senior KYC Onboarding Analyst [REDACTED] is of the view that the initial AML/CTF assessment result is consistent with the customer's profile and does not oppose the decision to onboard the customer with Medium Risk [REDACTED].

10/20/2021 10:39:28 AM

Profile	Balances	Ledger	Deposits	Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals	Referral Bonuses
Whitelisted IPs																			

INTERNAL ID	KGH-AVHN	MANUAL RISK SCORE	0	TOTAL RISK SCORE	45	RISK LEVEL	Medium											
COMPIVADVANTAGE	0	HITS		LINK	CompiVAdvantage Link	VERIFICATION	Auto-Approved	NUMBER OF ATTEMPT TO	1	RESET								

KYC Questionnaire

▼ Save & Inform User

Risk Score Update History

3/15/2022 3:05:41 PM

QUESTION SORT ORDER	QUESTION	ANSWER	RISK SCORE	RISK LEVEL
10	Place of birth	China	0	Low
11	Citizenship on the document	China	25	Medium
12	Please tell us about your current employment status.	Employed	0	Low
13	Please tell us about your occupation or business activity.	正在运营	0	Low
14	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0	Low
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0	Low
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cash)	0	Low
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0	Low
18	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Salary / business income	0	Low
19	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Employment income	0	Low
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term Investment, Crypto payment	5	Medium
21	How much do you plan to deposit per year USD and crypto combined?	10 000 000 000	0	Low
22	Please tell us which countries the funds will be received and/or transferred from.	China	15	Medium
23	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0	Low
24	How many years of experience do you have in crypto trading?	< 1 Year	0	Low
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0	Low

Comment

2/23 8:14 comment...

Add Comment

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Exploit Attempts Referrals Referral Bonuses

Whitelisted IPs

Risk Scoring

Transaction Monitoring

Security Question

Supporting Documents

INTERNAL ID
MANUALRISKSCORE
TOTAL RISK SCORE
RISK LEVEL

0

5

Low

COMPLYADVANTAGE
HITS
LINK
VERIFICATION
APPLICATION STATUS

0

Auto-Approved

0

COMPLYADVANTAGE
LINK
VERIFICATION
APPLICATION STATUS

0

Auto-Approved

0

Comment

Profile	Balances	ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Export Attempts	Reterrals	Referral Bonuses	Whitelisted IPs	Risk Scoring
---------	----------	--------	----------	-------------------	-------------	-------------------	----------------------	---------------	---------------	------------------	--------	-------	------------	---------------	----------	-----------	-----------------	-----------	------------------	-----------------	--------------

TRANSACTION MONITORING	Profile	Balances	ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Export Attempts	Reterrals	Referral Bonuses	Whitelisted IPs
	INTERNAL ID	ProfileID	0																		

MANUAL RISK SCORE	0	500
TOTAL RISK SCORE	15	
RISK LEVEL	Low	
COMPANY ADVANTAGE	0	
HITS		

COMPARISON

ADVANTAGE

EMPLOYMENT

LINK

VERIFICATION

LINK

APPLICATION STATUS

LINK

CATEGORY

LINK

NUMBER OF ATTEMPT TO

LINK

JUMBO

LINK

RESET

LINK

▼ [Save & Inform Later](#)

KYC Questionnaire

7/14/2023 10:19:12 AM

DATE & TIME

Auto (System)

Auto (System)

Auto (System)

Role

Risk Score

Risk Level

ANSWER

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Thrust	Half Cover	Notifications	Activity	Error Log	Explor. Attempts	Referrals	Referral Bonuses	Whitelisted IPs	Risk Scoring				
Transaction Monitoring	Security Question	Supporting Documents																							
INTERNAL ID: 397ICAV		MANNUALSCORE: 0		LINE		TOTAL RISK SCORE: 30		RISK LEVEL: LOW		COMPLYADVANTAGE: 0		HITS: 0		LINK: ComplyAdvantage Link		NUMBER OF ATTEMPT TO: 1		APPLICATION STATUS: Auto-Approved		CATEGORY: JUMBO					
QUESTION SORT ORDER: 1		DATE & TIME: 10-10-2021 12:57:18 PM		RESET		QUESTION: 1		ROLE: 30		RISK SCORE: 30		RISK LEVEL: Low		RISK RATING: 0		QUESTION: 2		ROLE: 30		RISK SCORE: 30		RISK LEVEL: Low			
1. Questionnaire		Auto (System)		Auto (System)		2. KYC Questionnaire		Auto (System)		Auto (System)		3. KYC Questionnaire		Auto (System)		4. KYC Questionnaire		Auto (System)		5. KYC Questionnaire		Auto (System)			
1. Questionnaire		QUESTION: 1		ANSWER: 1		QUESTION: 2		ANSWER: 2		QUESTION: 3		ANSWER: 3		QUESTION: 4		ANSWER: 4		QUESTION: 5		ANSWER: 5		QUESTION: 6		ANSWER: 6	
1. Questionnaire		1. Place of birth		China		2. Citizenship on this document		Singapore		3. Please tell us about your current employment status.		Employed		4. Please tell us about your occupation or business activity.		Water supply		5. Please tell us about your business you may conduct in other country(ies) besides where you are registered for tax purposes?		No		6. Is your individual activity or business registered or conducted in a preferential tax zone (for instance, free economic zone, offshore jurisdiction)?		No	
1. Questionnaire		7. Please tell us about your annual turnover in individual or business activity, which is handled in cash.		90-100% (all or almost all of my turnover is in cash)		8. Please tell us about your annual turnover in individual or business activity, which is handled in cryptocurrency.		0-10% (most or little of my turnover is in cryptocurrency)		9. Please tell us about your sources of income funds. Select more than one box if necessary.		Employment income		10. Please select the service(s) you plan to use. Select more than one box if necessary.		Crypto Trading Long term investment, Crypto payment		11. How much do you plan to deposit per year (USD and crypto combined)?		10 000 100 000		12. Please tell us which countries the funds will be received and/or transferred from.		Singapore	
1. Questionnaire		13. Let us know what your level of experience is with cryptocurrency trading? Please select one		Beginner		14. How many years of experience do you have in crypto trading?		< 1 Year		15. Are you an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position at home or overseas.		No		16. Are you an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position at home or overseas.		No		17. Are you an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position at home or overseas.		No					

MANAGERSCORE [0]

Score

INTERNAL ID WGAUHQO

Save

Edit

Delete

Details

Audit

Logs

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Explor. Attempts	Referrals	Referral Bonuses	Whitelisted IPs	Risk Scoring
Transaction Monitoring																					

KYC Questionnaire

QUESTION SORT ORDER

1	Place of birth	ANSWER
2	Citizenship on the document	0
3	Please tell us about your current employment status	31
4	Please tell us about your occupation or business activity	0
5	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	0
6	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency	0
8	Please tell us about your source(s) of income funds. Select more than one box if necessary	0
9	Please tell us about your source(s) of wealth? Select more than one box if necessary	0
10	Please select the service(s) you plan to use. Select more than one box if necessary	0
11	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000
12	Please tell us which countries the funds will be received and/or transferred from	United States
13	Let us know what your level of experience is with cryptocurrency trading? Please select one	0
14	How many years of experience do you have in crypto trading?	< 1 Year
15	Are you an immediate family member or a close associate, or have been entrusted with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No

Comment

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

Based on the KYC responses, the Customer is Medium risk considering the following risk factors:
He is a China national residing in China.
His planned use include crypto trading, long term investment, arbitrage trading, participate in initial exchange offering and crypto payment.
His origin of funds include US, China and Switzerland.

Enquiry was sent to Customer via Zendesk due to his origin of funds from US. He declined that he does not have any form of US identity, US indicia is explained.

Screening is performed against the customer's Chinese and English names. There is 1 hit against the searched names and the hit is discounted due to name mismatch.

Overall, KYC Onboarding Analyst, [REDACTED] is of the view that the initial AML CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk(1).

INTERNAL ID
FFC2CAF

TOTAL RISK SCORE
5.1

RISK LEVEL
Medium

COMPLIANCE SCORE
0

LINK
Compliance Log

VERIFICATION
Approved

APPLICATION STATUS
Approved By Compliance

CATEGORY
JUMBO

NUMBER OF ATTEMPT TO
3

RESET

QUESTION

ANSWER

RISK RATING

China
China
Employed
Yes
No
No
0-10% none or little of my turnover is in cash
0-10% none or little of my turnover is in cryptocurrency
Salary/ business income/ investments. Savings
Employment income
Crypto Trading, Long term investment, Arbitrage Trading, Participate in initial Exchange Offering, Crypto payment
10 000 100 000
United States
China
Switzerland
Beginner
< 1 Year
No

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Reclamation Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals	Referral Bonuses	Whitelisted IPs	Risk Scoring
Transaction Monitoring																					

INTERNAL ID	2611PNR	SEARCH
MANUAL RISK SCORE	51	SEARCH
TOTAL RISK SCORE	51	SEARCH
RISK LEVEL	Medium	SEARCH
COMPLIANCE HITS	100	SEARCH
COMPLIANCE ADVANTAGE	Compliance Advantage Link	SEARCH
LINK		SEARCH
VERIFICATION	Approved	SEARCH
APPLICATION STATUS	Approved By Compliance	SEARCH
CATEGORY		SEARCH
NUMBER OF ATTEMPT TO	3	SEARCH
JUMBO	Reset	SEARCH

KYC Questionnaire

QUESTION	ANSWER	RISK RATING
10 Place of birth	China	0
11 Citizenship on the document	China	31
12 Please tell us about your current employment status.	Employed	0
13 Please tell us about your occupation or business activity.	Editor	0
14 Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
15 Is your individual activity or business registered or conducted in preferential tax zone (ex: embassy, free economic zone, offshore jurisdiction)?	No	0
16 Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cash)	0
17 Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0
18 Please tell us about your sources of wealth. Select more than one box if necessary.	Salary, business income, investments, Savings, Property sale, Employment income, Business profits	0
19 Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment	5
20 How much do you plan to deposit per year (USD and Crypto combined)?	10 000-100 000	0
21 Please tell us which countries the funds will be received and/or transferred from.	China	15
22 Please tell us what your level of experience is with cryptocurrency trading. Please select one:	Beginner	0
23 Let us know what your level of experience is with crypto trading? Please select one:	< 1 Year	0
24 How many years of experience do you have in crypto trading?	No	0
25 Are you an immediate family member or close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add Comment

DATE & TIME

FIELD NAME

ROLE

COMMENT

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

- [31] Citizenship: China
- [15] funds will be received and/or transferred from: China
- [5] service(s) you plan to use - Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment
- Screening is performed against the Customer. There are 100 hits against the searched names, 98 hits are discounted due to name mismatch, 2 hits are discounted because there were no related result by using name and ID to search in the database provided in the link.
- Notification email has been sent to the Customer due to his country of residence in China.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML/CFT assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk 51.

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals	Referral Bonuses	Whitelisted IPs	Risk Scoring
Transaction Monitoring Security Questions Supporting Documents																					

INTERNAL ID	SC0001
MANUAL RISK SCORE	0
TOTAL RISK SCORE	25
RISK LEVEL	Low
COMPLIANT/ADVANTAGE	0
HITS	0

Compliant/Advantage Lvl: 0

Score: 0

Size: 0

▼ [Edit & Refresh Live](#)

KYC Questionnaire

Risk Score Update History

QUESTION	ANSWER	RISK SCORE	RISK LEVEL
10. Place of birth	China	0	Low
11. Citizenship on the document	China	25	Low
12. Please tell us about your current employment status.	Employed	0	Low
13. Please tell us about your occupation or business activity.	No	0	Low
14. Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0	Low
15. Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-100% (all or almost all of my turnover is in cash)	0	Low
16. Please tell us about your sources of income funds.	100% (none or little of my turnover is in cryptocurrencies)	0	Low
17. Please tell us about your sources of wealth? Select more than one box if necessary.	Employment income	0	Low
18. Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term Investment	0	Low
19. How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	0	Low
20. Please tell us which countries the funds will be received and/or transferred from.	Korea (South)	0	Low
21. Let us know what your level of experience is with cryptocurrency trading? Please select one.	Beginner	0	Low
22. How many years of experience do you have in crypto trading?	< Year	0	Low
23. Are you, an immediate family member or a close associate, estranged, or have been entrusted with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0	Low

Commitment

Add Comment

Edit & Refresh Live

Comment

2022-10-29 10:20:29 AM

DATE & TIME

FULL NAME

ROLE

full name mismatch with ID. Customer input: [REDACTED]

COMMENT

Profile	Balances	Ledger	Deposits	Deposit Addresses	Withdrawals	Redemption Limits	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals	Referral Bonuses	Whitelisted IPs	Risk Scoring
Transaction Monitoring	Security Question	Supporting Documents																			

INTERNAL ID	MANUALRISKSCORE	TOTAL RISK SCORE	RISK LEVEL	COMPYADVANTAGE	HITS	LINK	VERIFICATION	APPLICATION STATUS	CATEGORY	NUMBER OF ATTEMPT TO	JUMBO	RESET	Save & Information				
M208631	0	6	Low	0	0	ExploitAdvantage (10)	Auto-Approved			2							

Risk Score Update History					
QUESTION SORT ORDER	DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
12	3/1/2023 4:40:08 PM	Auto (System)	Auto (System)	6	Low
13	3/1/2023 4:48:29 PM	Auto (System)	Auto (System)	0	Low
	3/1/2023 4:47:45 PM	Auto (System)	Auto (System)	0	Low

KYC Questionnaire		
QUESTION	ANSWER	RISK RATING
12 Please tell us about your current employment status.	Self-employed	0
13 Please tell us about your occupation or business activity.	Salary/ business income	0
18 Please tell us about your source(s) of income/ funds. Select more than one box if necessary.	Employment income	0
19 Please tell us about your source(s) of wealth? Select more than one box if necessary.	Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto Payment	0
20 How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	0
21 Please tell us which countries the funds will be received and/ or transferred from.	Hong Kong	0
22 Are you an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0
23		

Comment

Add a comment...

Add Comment

Profile	Balances	Lender	Deposits	Deposit Addresses	Withdrawals	Redemption Units	Withdrawal Addresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	Mail Queue	Notifications	Activity	Error Log	Export Attempts	Referrals	Referral Bonuses	Whitelisted IPs	Risk Scoring
Transaction Monitoring																					
INTERNAL ID	COZ022P																				
MANDARINSCORE	0																				
TOTAL RISK SCORE	5																				
RISK LEVEL	Low																				
COMPANYADVANTAGE	60																				
HITS	60																				
NUMBER OF ATTTEMPT TO	1																				
CATEGORY	Approved																				
APPLICATION STATUS	Approved By Compliance																				
LINK	https://www.onboarding.com/																				
VERIFICATION	Approved																				
COMMENT	Comment																				
RESET	Reset																				

KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	Australia	0
12	Relationship with your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	Health and wellness-Health care	5
14	Please tell us about businesses you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in crypto currency.	0-10%	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in crypto currency.	0-10% (none or little of my turnover is in crypto currency)	0
18	Please tell us about your sources of income funds. Select more than one box if necessary.	Salary/ business income	0
19	Please tell us about your sources of wealth. Select more than one box if necessary.	Employment income	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Long term investment	0
21	How much do you plan to deposit per year (USD and crypto combined)?	< 10,000	0
22	Please tell us which countries the funds will be received and/or transferred from.	Australia	0
23	Let us know what your level of experience is with cryptocurrency trading. Please select one:	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

COMMENT
Add Comment

Based on the KYC responses, the Customer is considered Low Risk. Screening performed against the Customer with 59 hits. 62 are discounted due to name mismatch. It is discounted by using name and ID number to search in the link provided, no relevant result is shown.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML/CFT assessment result is consistent with the customer's profile and does not oppose the decision to onboard the Customer with Low Risk.

5/12/2021 9:33:31 AM

Profile	Balances	Legacy	Debtors	Deposit Adresses	Withdrawals	Redemption Limits	Withdrawal Adresses	Bank Accounts	Active Orders	Completed Orders	Trades	Tiers	All Queue	Notifications	Activity	Error Log	Exploit Attempts	Referrals	Referral Errors	Whitelisted IPs	Risk Scoring
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Transaction Monitoring	Security Question	Supporting Documents																		
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Risk Score Update History

INTERNAL ID	MANUAL/SCREEN	SCANNER
	0	0
TOTAL RISK SCORE	55	55
RISK LEVEL	Medium	Medium
COMPANY ADVANTAGE	59	59
HITS		
COMPANY ADVANTAGE	Empirical Learning Job	
VERIFICATION	Approved	
APPLICATION STATUS	Approved By Company	
CATEGORY		
NUMBER OF ATTACH TO	5	
JUDG	June	
	Reset	

Save & return later

Save & return later

KYC Questionnaire

QUESTION/SCORING CODE	QUESTION	ANSWER	RISK SCORE	RISK LEVEL
10	Place of birth	China	55	Medium
11	Citizenship on the document	China	55	Medium
12	Please tell us about your current employment status.	Self-employed	55	Medium
13	Please tell us about your occupation or business activity.	Services->Tourism and travel agencies, activities	55	Medium
14	Please tell us about business you may conduct in other countries (3) besides where you are registered for tax purposes?	No	0	Low
15	If your individual activity or business is reported or conducted in preference tax zones (for instance, free economic zones, offshore jurisdictions)?	No	0	Low
16	Please tell us about your annual turnover, in individual or business activity, which is handled in crypto currency.	0-10K (frome or less of my turnover is in crypto)	0	Low
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10K (frome or less of my turnover is in cash)	0	Low
18	Please tell us about your source(s) of income funds. Select more than one box if necessary.	0-10K (frome or less of my turnover is in crypto)	0	Low
19	Please tell us about your source(s) of wealth. Select more than one box if necessary.	Salary - business income	0	Low
20	Please select the services you plan to use. Select more than one box if necessary.	Employment income, Business profits	0	Low
21	How much do you plan to deposit per year (USD and crypto combined)?	Crypto Trading, Long term investment, Advantage Trading, Crypto Payment	5	Medium
22	Please tell us which countries the funds will be received and paid from.	10 000-100 000	0	Low
23	Let us know what your level of experience is with cryptocurrency trading? Please select one	China	15	Medium
24	How many years of expertise do you have in crypto trading?	Beginner	0	Low
25	Are you an immediate family member or a close associate, estranged, or have been estranged, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	< 1 Year	0	Low

Comment

Add Comment

Save & comment...

INTERNAL ID	L0770LW
MANUAL RISK SCORE	9
TOTAL RISK SCORE	5
RISK LEVEL	Low
COMPLIANCE HITS	1
COMPLIANCE ADVANTAGE	0
LINK	Compliance Summary
VERIFICATION STATUS	Approved
CATEGORY	Approved By Compliance
NUMBER OF ATTEMPT TO JUMBO	1
RESET	Save & Confirm User

Risk Score Update History

DATE & TIME	Auto (System)	Full Name	Auto (System)	Role	Risk Score	Risk Level
3/13/2022 12:29:17 PM					5	Low

KYC Questionnaire

QUESTION	ANSWER	RISK RATING
10 Place of birth	China	0
11 Citizenship on the document	Australia	0
12 Please tell us about your current employment status.	Employed	0
13 Please tell us about your occupation or business activity.	real estate agent	0
14 Please tell us about business's you may conduct in other country's besides where you are registered for tax purposes?	No	0
15 Is your individual activity business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16 Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cash)	0
17 Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0
18 Please tell us about your source(s) of income funds. Select more than one box if necessary.	Salary, business income, investments	0
19 Please tell us about your source(s) of wealth? Select more than one box if necessary.	Property sale	0
20 Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment	5
21 How much do you plan to deposit per year (USG and Crypto combined)?	10 000-100 000	0
22 Please tell us which countries the funds will be received and or transferred from.	Australia	0
23 Let us know what your level of experience is with cryptocurrency trading? Please select one.	Beginner	0
24 How many years of experience do you have in crypto trading?	< 1 Year	0
25 Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

3/14/2022 5:05:08 PM

Based on the KYC responses, the Customer is considered Low Risk. Screening is performed against the Customer with 8 hits. All hits can be discounted due to name mismatch.
Overall, KYC onboarding Analyst [REDACTED] is of the view that the initial AML CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Low Risk. [ISK SCORE: 5].